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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 16

C mplete if Known

Application Number	10/037,146
Filing Date	12/21/2001
First Named Inventor	Painter
Art Unit	2874
Examiner Name	Eric K Wong

Attorney Docket Number CQC13NP

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
DW		US- 6,580,851-B1	06-17-2003	Vahala et al	
DW		US- 6,633,696-B1	10-14-2003	Vahala et al	
DW		US- 2001-0004411-A1	06-21-2001	Yariv	
DW		US- 2001-0033587-A1	10-25-2001	Painter et al	
DW		US- 09/788,303	filed 02-16-2001	Sercel et al	
DW		US- 2002-0041730A1	04-11-2002	Sercel et al	
DW		US- 2002-0044739-A1	04-18-2002	Vahala et al	
DW		US- 2002-0037132-A1	03-28-2002	Sercel et al	
DW		US- 2002-0122615-A1	09-05-2002	Painter et al	
DW		US- 4,142,775	03-06-1979	Ramaswamy et al	
DW		US- 4,515,431	05-07-1985	Shaw et al	
DW		US- 4,723,827	02-09-1988	Shaw et al	
DW		US- 4,768,849	09-06-1988	Hicks	
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DW		US- 5,471,551	11-28-1995	Kragl et al	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T- 6
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				
DW		FR 2,739,195	03-28-1997	Knight et al		

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Sheet 12

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Attorney Docket Number	CQC13NP

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EW		US- 5,475,704	12-12-1995	Lomashevitch	
EW		US- 5,479,548	12-26-1995	Cote et al	
EW		US- 5,546,414	08-13-1996	Pfeiffer	
EW		US- 5,666,447	09-09-1997	Chuang et al	
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EW		US- 6,243,517	06-05-2001	Deacon	
EW		US- 6,293,688	09-25-2001	Deacon	
EW		US- 6,356,694	03-12-2002	Weber	
		US-		/	

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EW		US- 3,589,794	06-29-1971	Marcatili	
EW		US- 4,720,160	01-19-1988	Hicks	
EW		US- 5,039,192	08-13-1991	Basu	
EW		US- 5,506,712	04-09-1996	Sasayama et al	
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ZW		US- 5,296,912	03-22-1994	Strandjord et al	
		US-			
		US-			
		US-			

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First Named Inventor	Painter
Art Unit	2874
Examiner Name	Eric K Wong
Attorney Docket Number	CQC13NP

NON PATENT LITERATURE DOCUMENTS

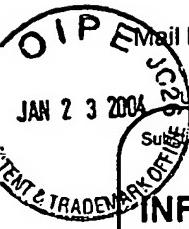
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
bw		F. Agahi, B. Pezeshki, J. A. Kash, and D. W. Kisker, "Asymmetric Fabry-Perot modulator with a waveguide geometry", Electron. Lett. Vol. 32(3) 210 (1996)	
EW		Carl Arft, Diego R. Yankelovich, Andre Knoesen, Erji Mao, and James S. Harris Jr., "In-line fiber evanescent field electrooptic modulators", Journal of Nonlinear Optical Physics and Materials Vol. 9(1) 79 (2000)	
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ew		Ming Cai, Oskar Painter, and Kerry J. Vahala, "Observation of critical coupling in a fiber taper to a silica-microsphere whispering-gallery mode system", Physical Review Letters, Vol. 85(1) 74 (2000)	
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet

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Application Number	10/037,146
Filing Date	12/21/2001
First Named Inventor	Painter
Art Unit	2874
Examiner Name	Eric K Wong

Attorney Docket Number CQC13NP

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
<i>EW</i>		M. Kuwata-Gonokami, R. H. Jordan, A. Dodabalapur, H. E. Katz, M. L. Schilling, R. E. Slusher, and S. Ozawa, "Polymer microdisk and microring lasers", Optics Letters Vol 20(20) 2093 (1995)	
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<i>EW</i>		B. Pezeshki, J. A. Kash, D. W. Walker, and F. Tong, "Wavelength sensitive tapered coupler with anti-resonant waveguides", IEEE Phot. Tech. Lett. Vol. 6(10) 1225 (1994)	
<i>EW</i>		B. Pezeshki, F. F. Tong, J. A. Kash, and D. W. Kisker, "Vertical cavity devices as wavelength selective waveguides", J. Lightwave Tech. Vol. 12(10) 1791 (1994)	
<i>EW</i>		B. Pezeshki, J. A. Kash, and F. Agahi, "Waveguide version of an asymmetric Fabry-Perot modulator", Appl. Phys. Lett. Vol. 67(12) 1662 (1995)	
<i>EW</i>		H. P. Xin and C. W. Tu, "GaInNAs/GaAs multiple quantum wells grown by gas-source molecular beam epitaxy", Appl. Phys Lett. Vol. 72(19) 2442 (1998)	

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Date Considered

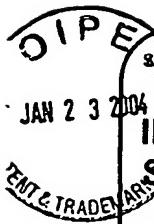
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EW		Pochi Yeh, Amnon Yariv, and Chi-Shain Hong, "Electromagnetic propagation in periodic stratified media. I. General theory", J. Optical Soc. Am., Vol. 67(4) 423 (1977)	
EW		M. K. Chin and S. T. Ho, "Design and modeling of waveguide-coupled single-mode microring resonators", J. Lightwave Tech. 16 1433 (1998)	
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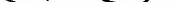
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Sheet 2	of 2	Attorney Docket Number	CQC13NP

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
<i>EW</i>		BLOM, F.C.; VAN DIJK, D.R.; HOEKSTRA, H.J.W.M.; DRIESSEN, A.; and POPMA, T.J.A. Experimental study of integrated-optics microcavity resonators: Toward an all-optical switching device. Appl Phys Lett vol 71 no 6 pp 747-749 (1997)	
<i>EW</i>		LITTLE, B.E.; HAUS, H.A.; FORESI, J.S.; KIMERLING, L.C.; IPPEN, E.P.; and RIPIN, D.J. Wavelength switching and routing using absorption and resonance. IEEE Phot Tech Lett vol 10 no 6 pp 816-818 (1998)	

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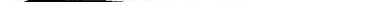
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		Filing Date	12/21/2001
		First Named Inventor	Painter
		Art Unit	2874
		Examiner Name	Eric K Wong
		Attorney Docket Number	CQC13NP
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